

ORIGINAL

233-18-5

74-395-A

## APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES	ARCHIVES AND HISTORY	
Application Date February 26, 1980		Office of the Commissioner Office of Audits 1256 Briarcliff Road, N. E. Atlanta, Georgia 30306	Application Number <b>74-398-A</b>	
Application Number 80-10 80-11			Date Received MAR 3 1980	Date Completed MAR 19 1980
2. Person to Contact David G. Price		Working Title Director, Office of Audits		Telephone Number 894-3700
3. Action Requested				
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. 74-395-A to transfer record copy to				
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. 74-398-A State Archives				
c. <input checked="" type="checkbox"/> Amend Application No. 2 schedules Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supercode; <input type="checkbox"/> Void				
4. Dates of Series		5. Records Series Title (followed by title used in office, if different)		
Earliest	Latest	see attached listing		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?				
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to:  Included are:          The file is arranged :				
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ?				
9. Annual Rate of Accumulation or Records Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____				

# APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

<b>DHR</b>		<b>1. GEORGIA DEPARTMENT OF HUMAN RESOURCES</b>		<b>ARCHIVES AND HISTORY</b>	
Application Date May 2, 1979		Office of the Commissioner Office of Audits 1256 Briarcliff Road, N. E. Atlanta, Georgia 30306		Application Number <b>74-398-A</b>	
Application Number DHR 79-11 through 79-17				Date Received MAY 7 1979	
				Date Completed JUL 5 1979	
2. Person to Contact David G. Price		Working Title Director, Office of Audits		Telephone Number 894-5695	
3. Action Requested * (x) Rescind Appl. No. 301 (x) Transfer to Dept of Medical Assistance 74-396					
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. *no longer done					
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. *74-395 - *74-398 - *74-399 - 74-416 - 77-401					
c. <input checked="" type="checkbox"/> Amend Application No. 54 schedules Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supercede; <input type="checkbox"/> Void to make changes in					
4. Dates of Series		5. Records Series Title (followed by title used in office; if different)		wording and to lengthen retention period	
Earliest 1968	Latest to present	see attached listing		* DHR State-wide application	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?					
<p>The Department of Human Resources, through the leadership of the Commissioner, is responsible for planning, organizing, directing, coordinating, and controlling the delivery of services to residents of Georgia. Included are: diagnosis and treatment of mental disorders; control of physical health programs; administration of public assistance programs; Federal Food Programs; administration of programs which enable the non-productive members of society (blind, physically and mentally handicapped) to function as productive members of society; administration of programs for the elderly; evaluation of programs of the Department, and suggesting improvements in these programs; and support services.</p> <p>The Office of Audits has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and policies, procedures and regulations applicable thereto. Also, to help Management improve the efficiency, economy, and effectiveness of operations by identifying where improvements are needed.</p>					
7. Records Series Description		This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.			
Documents relating to:		see attached listing			
Included are:					
The file is arranged :					
8. Monthly Reference Rate		How often are records referred to which are:			
One to six months old _____ ;		Seven to twelve months old _____ ;			
twenty-five months and older _____ ?		Thirteen to twenty-four months old _____ ;			
9. Annual Rate of Accumulation or Records					
Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

50-314-02

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. DHR Procedure IV-H - Administrative Procedures Manual
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 5 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>David Spruiell</i>	5/1/79	<i>Elizabeth W. Crank</i>	4/30/79
		Elizabeth W. Crank C.R.M. State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>[Signature]</i>	7-3-79
	Secretary of State/Designee	<i>Carroll Hart</i>	6-29-79
	Attorney General/Designee	<i>[Signature]</i>	7-3-79

Application to Amend Records Retention Schedules

Office of Audits - page 3

CONTRACT AUDIT SECTION

TO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-395	<p>FAMILY AND CHILDREN SERVICES COUNTY AND FOOD STAMP AUDIT REPORT FILES - Documents re- lating to auditing State-allo- cated funds expended by Family and Children Services County Food Stamp Programs. Included, but not limited to, are: Statement of Revenue Expenses, and Budget comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit re- sults, revenue and expenditure statement, statement of admini- strative expenses, adjusting en- tries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alpha- betically by county; thereunder, by DHR Division; thereunder, by program.</p>	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all perti- nent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p>DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the in- active file; cut off inac- tive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p> <p>Cut Off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been</p>
74-398-A	<p>COUNTY HEALTH DEPARTMENT, HEALTH DISTRICT, AND MENTAL HEALTH CATCHMENT AREA REPORT FILES - Doc- uments relating to auditing State- allocated funds expended by County Health Departments, Health Dis-</p>	

TO AMEND

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-398 (cont.)	tricts, and Mental Health Catchment areas. Included, but not limited to, are: Statement of Revenue, Expenses, and Budget Comparison; Analysis of State and County Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by District; thereunder, by Catchment Area.	<p>Cut off file as follows:</p> <p><u>Office of Audits</u> <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.</p> <p><u>DHR Offices/ Divisions/</u> <u>Sections/ Units</u> <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers is authorized.</p>
74-399	<p>CONTRACT AUDIT REPORT FILES <i>RES</i> (Titles III, IV-A, IV-D, V, VI, VII, XVI, XX) - Documents relating to auditing contract programs which may include day care centers, mental retardation centers, child support recovery programs, aging programs, and any other patient-client related</p>	<p>Cut off file as follows:</p> <p><u>Office of Audits</u> <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all pertinent papers for a particular</p>

STATE  
OF  
GEORGIAApplication for  
RECORDS DISPOSITION STANDARDOFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

233-18

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PAGE  
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1. Application Date <b>October 30, 1974</b>		<b>INSTRUCTIONS:</b> See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE Date Received      Application No.      Date Completed <b>NOV 14 1974      74-398      NOV 21 1974</b>	
2. Agency Application No. <b>DHR-DER-1</b>		3. AGENCY, Division, Subdivision & Administering Office Address <b>Department of Human Resources Office of Evaluation and Research Internal Audit Unit 618 Ponce De Leon Ave., Atlanta, Ga. 30308</b>		4. Person to Contact <b>G. M. Chattin</b>	
		5. Working Title <b>Chief Auditor</b>		6. Tel. No. <b>894-5695</b>	
7. ACTION REQUESTED <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.					
8. Earliest & Latest Dates of Series <b>F/Y 1968 to present</b>		9. Exact Series Title <b>COUNTY HEALTH DEPARTMENT AUDIT REPORT FILES</b>			
10. What is the function of the office in which this record series is created?  The Office of Evaluation and Research provides the Management Team with personnel who can objectively evaluate and analyze the effectiveness of the Department's programs.  The Internal Audit Unit has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and the policies, procedures and regulations applicable thereto. Also, to help Management improve the efficiency, economy and effectiveness of operations by identifying where improvements are needed.					
11. This file contains the following documents (include form numbers and titles, if any, and file arrangement).  Documents relating to auditing of state-allocated funds expended by County Health Departments.  Included but not limited to are: auditor's transmittal letter summarizing results of audit, revenue and expenditure statement, statement of administrative expenses, adjusting entries, bank reconciliations, and supporting documents and work papers.  Files are arranged chronologically by fiscal year; thereafter alphabetically by name of county in which audit was performed.					
ATTACH SAMPLES OF THE FILE					
12. EQUIPMENT OCCUPIED		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	
Letter-size File Drawers				1.5      3	
Legal-size File Drawers		8	16	Floor Space Occupied (Square Feet) <b>16</b>	
				In Office(s)      In Storage Area(s)	
				This Year's      Last Year's      Preceding Year's      All Prior Years	
				AVERAGE DAILY REFERENCES <b>3      3      1      1</b>	

**QUESTIONNAIRE** Place an "x" in the proper column. If answer is "YES," please explain.

13. Is this the Record Copy of the series? YES NO  
[X] [ ]
14. Is there a duplication of this series in another office or agency? [ ] [X]
15. Is the information contained in this series ever summarized or published?  
 Attach copy of summary or publication. [ ] [X]
16. Does the series contain classified information requiring security handling? [ ] [X]
17. Does the series initiate, amend or terminate agency policies and procedures? [ ] [X]
18. Could the function be performed if the files were lost or destroyed? [X] [ ]
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [ ] [X]
20. Does the record series provide data as input to an EDP file? [ ] [X]
21. Does the record series contain documentation produced as EDP printout? [ ] [X]
22. Has the Federal Government issued instructions governing the retention/disposition of these files? [ ] [X]
23. Will there be a need for these records 10, 15 years from now? If yes, what? [ ] [X]

24. REQUIREMENTS. The following requires the files to be kept 4 years:

a. [ ] STATE LAW    b. [ ] STATUTE OF LIMITATION    c. [ ] AUDIT PERIOD    d. [ ] FEDERAL LAW    e. [X] ADMINISTRATIVE DECISION    f. [ ] HISTORICAL VALUE  
 (Cite Law, Statute, or other reason for the retention requirement)

Based on previous reference experience, the Internal Audit needs a four year retention.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each ☐ CALENDAR YEAR ☒ FISCAL YEAR ☐ OTHER \_\_\_\_\_, then:

- ☒ Hold in the current files area \_\_\_\_\_ month(s)/ 2 year(s):
- ☒ Transfer to ☒ State Records Center ☐ Local Holding Area; hold 2 year(s):
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Destroy immediately after cut-off.
- ☐ Other: (Specify) \_\_\_\_\_

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature)	Date	OTHER REQUIRED SIGNATURES	DATE
<i>William G. Kees</i>	<i>OCT 30, 74</i>	<i>B. McPhatter</i>	<i>11/5/74</i>
26. Recommendations in paragraph 25 are:	Agency Head/Designee <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>William M. Dixon</i>	<i>11-21-74</i>
	State Auditor/Designee <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>Carroll Hart</i>	<i>11-19-74</i>
	Secretary of State/Designee <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>Robert J. Shell</i>	<i>11-21-74</i>
	Attorney General/Designee <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved		

STATE RECORDS  
COMMITTEE

Records Retention Schedule \*

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
/ OFFICE OF THE COMMISSIONER  
FINANCIAL MANAGEMENT

Office of Audits  
Contract Audits Section

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-395-A	FAMILY AND CHILDREN SERVICES COUNTY AND FOOD STAMP AUDIT REPORT FILES - Documents re- lating to auditing State- allocated funds expended by Family and Children Services County Food Stamp Programs. Included, but not limited to, are: Statement of Revenue Ex- penses, and Budget comparison; Analysis of State and Federal Receipts; Schedules of Ac- counts Receivable, Encumbrances, Prepaid Expenses, Equipment Pur- chases, Accounts Payable; au- ditor's transmittal letter sum- marizing audit results, revenue and expenditure statement, state- ment of administrative expenses, adjusting entries, bank reconcili- ations; and supporting papers. The file is arranged chronologi- cally by fiscal year; thereunder, alphabetically by county; there- under, by DHR Division; there- under, by program.	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all perti- nent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then transfer to State Archives.</p> <p>DHR Office/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u></p> <p>Upon determination that all audit questions have been resolved, place all reference papers for audit in the in- active file; cut off inac- tive file at end of each fiscal year; hold 2 years; then destroy.</p> <p>Earlier destruction of audit reference papers in author- ized.</p>
74-398-A	COUNTY HEALTH DEPARTMENT, HEALTH DISTRICT, AND MENTAL HEALTH CATCHMENT AREA REPORT FILES - Doc- uments relating to auditing State- allocated funds expended by County Health Departments, Health Districts, and Mental Health Catchment areas. Included, but	<p>Cut off file as follows:</p> <p>Office of Audits <u>(Record Copy)</u></p> <p>Upon determination that all audit questions have been resolved, place all perti- nent papers for a particu-</p>

APPROVED: 3/19/80



Records Retention Schedule ,

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF THE COMMISSIONER  
FINANCIAL MANAGEMENT

Office of Audits  
Contract Audits Section

<u>Appl. No.</u>	<u>Description</u>	<u>Disposition</u>
74-398-A (cont.)	not limited to, are: Statement of Revenue, Expenses, and Budget Comparison; Analysis of State and County Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, revenue and expenditure statement, adjusting entries, bank reconciliations; and supporting papers. The file is arranged chronologically by fiscal year; thereunder, alphabetically by county; thereunder, by District; thereunder, by Catchment area.	lar audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then transfer to State Archives.  DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u>  Upon determination that all audit questions have been resolved, place all reference papers for audit in the inactive file; cut off inactive at end of each fiscal year; hold 2 years; then destroy.  Earlier destruction of audit reference papers is authorized.
74-399-A	CONTRACT AUDIT REPORT FILES (Titles III, IV-A, IV-D, V, VI, VII, XVI, XX) - Documents relating to auditing contract programs which may include day care centers, mental retardation centers, child support recovery programs, aging programs, and any other patient-client related vendors funded through Titles III, IV-A, IV-D, V, VI, VII, XVI, and XX. Included, but not limited to, are: Statement of Revenue, Expenses, and Budget Comparison; Analysis of State and Federal Receipts; Schedules of Accounts Receivable, Encumbrances, Prepaid Expenses, Equipment Purchases, Accounts Payable; auditor's transmittal letter summarizing audit results, reve-	APPROVED: 3/19/80  Cut off file as follows:  Office of Audits <u>(Record Copy)</u>  Upon determination that all audit questions have been resolved, place all pertinent papers for a particular audit in the inactive file; cut off inactive file at end of each fiscal year; hold in current files area 2 years; transfer to State Records Center; hold 3 years; then destroy.  DHR Offices/ Divisions/ Sections/ Units <u>(Reference Copy of Audit)</u>  Upon determination that all